

OCT 18 2006

**FAX TRANSMISSION****DATE:** October 18, 2006**PTO IDENTIFIER:** Application Number 10/534593-Conf. #7806  
Patent Number**Inventor:** Motoyuki ASHIKARI et al.**MESSAGE TO:** US Patent and Trademark Office**FAX NUMBER:** (571) 273-8300**FROM:** LAHIVE & COCKFIELD, LLP

Jeanne M. DiGiorgio

**PHONE:** (617) 227-7400**Attorney Dkt. #:** SHZ-024US**PAGES (Including Cover Sheet):** 12**CONTENTS:** Transmittal (1 page)  
Certificate of Transmission (1 page)  
Request for Corrected Filing Receipt (2 pages)  
Copy of Filing Receipt (3 pages)  
Copy of Supplemental ADS (4 pages)

If your receipt of this transmission is in error, please notify this firm immediately by collect call to sender at (617) 227-7400 and send the original transmission to us by return mail at the address below.

This transmission is intended for the sole use of the individual and entity to whom it is addressed, and may contain information that is privileged, confidential and exempt from disclosure under applicable law. You are hereby notified that any dissemination, distribution or duplication of this transmission by someone other than the intended addressee or its designated agent is strictly prohibited.

**LAHIVE & COCKFIELD, LLP**  
28 State Street, Boston, Massachusetts 02109  
Telephone: (617) 227-7400 Facsimile: (617) 742-4214

PTO/SB/97 (09-04)

Approved for use through 07/31/2006. OMB 0861-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no person is required to respond to a collection of information unless it displays a valid OMB control number.

Application No. (if known): 10/534593

Attorney Docket No.: SHZ-024US

## Certificate of Transmission under 37 CFR 1.8

I hereby certify that this correspondence is being facsimile transmitted to the United States Patent and Trademark Office.

on October 18, 2006  
Date

  
SignatureJeanne M. DiGiorgio

Typed or printed name of person signing Certificate

41,710  
Registration Number, if applicable

(617) 227-7400  
Telephone Number

Note: Each paper must have its own certificate of transmission, or this certificate must identify each submitted paper.

Certificate of Transmission (1 page)  
Transmittal (1 page)  
Request for Corrected Filing Receipt (2 pages)  
Copy of Filing Receipt (3 pages)  
Copy of Supplemental ADS (4 pages)

**RECEIVED**  
**CENTRAL FAX CENTER**

003/012

OCT 18 2006

PTO/SB/21 (08-04)

Approved for use through 07/31/2008. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

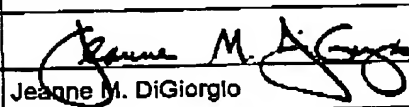
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b>  <i>(to be used for all correspondence after initial filing)</i>	Application Number	10/534593-Conf. #7806
	Filing Date	October 31, 2005
	First Named Inventor	Motoyuki ASHIKARI
	Art Unit	1638
	Examiner Name	Not Yet Assigned
Total Number of Pages in This Submission	Attorney Docket Number	SHZ-024US

**ENCLOSURES (Check all that apply)**

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Request for Correction Filing Receipt (2 pgs.); Certificate of Transmission (1 pg.); Copy of Filing Receipt with changes noted thereon (3 pgs.); Copy of the Supplemental Application Data Sheet to support the changes (4 pgs.)
Remarks		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm Name	LAHIVE & COCKFIELD, LLP		
Signature			
Printed name	Jeanne M. DiGiorgio		
Date	October 18, 2006	Reg. No.	41,710

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being transmitted by facsimile to the U.S. Patent and Trademark Office, facsimile no. (571) 273-8300 at Filing Receipt Corrections Office of Initial Patent Examination, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.

Dated: October 18, 2006

Signature: 

(Jeanne M. DiGiorgio)

**RECEIVED  
CENTRAL FAX CENTER****OCT 18 2006****Docket No.: SHZ-024US  
(PATENT)**

I hereby certify that this correspondence is being facsimile transmitted to the Patent and Trademark Office, facsimile no. (571) 273-8300 at Filing Receipt Corrections, Office of Initial Patent Examination, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.

Dated: October 18, 2006

Signature:   
(Nazma M. Begum)**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:  
Motoyuli Ashikari *et al.*

Application No.: 10/534593

Confirmation No.: 7806

Filed: October 31, 2005

Art Unit: 1638

For: GENES FOR INCREASING GRAIN YIELD  
AND USES THEREOF (As Amended)

Examiner: Not Yet Assigned

**REQUEST FOR CORRECTED FILING RECEIPT**

Filing Receipt Corrections  
Office of Initial Patent Examination  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Applicant hereby requests that a corrected Filing Receipt be issued in the above-identified patent application. The official Filing Receipt received by Applicant, a copy of which is attached hereto, has errors in

- 1) **Domestic Priority as claimed by applicant**

UNITED STATES OF AMERICA 60425919 11/13/2002

- 2) **Foreign Applications**

This application is a 371 of PCT/JP03/14434 11/13/2003

A copy of the Application Data Sheet is enclosed to support this change. Applicant additionally requests that all pertinent U.S. Patent and Trademark Office records relating to the subject application be changed to reflect this correction.

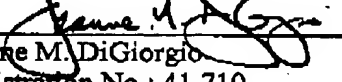
Application No.: 10/534593

Docket No.: SHZ-024US

Applicant believes no fee is due with this request. However, if a fee is due, please charge our Deposit Account No. 12-0080, under Order No. SHZ-024US from which the undersigned is authorized to draw.

Dated: October 18, 2006

Respectfully submitted,

By   
Jeanne M. DiGiorgio  
Registration No.: 41,710  
LAHIVE & COCKFIELD, LLP  
28 State Street  
Boston, Massachusetts 02109  
(617) 227-7400  
(617) 742-4214 (Fax)  
Attorney/Agent For Applicant



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/534,593	10/31/2005	1638	3240	SPZ-024US	10	19	2

CONFIRMATION NO. 7806

959  
LAHIVE & COCKFIELD  
28 STATE STREET  
BOSTON, MA 02109

CORRECTED FILING RECEIPT

10534593 10312005 1638 3240 SPZ-024US 10 19 2  
\*0C000000020726255\*

Date Mailed: 10/05/2006

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Motoyuki Ashikari, Nagoya-shi, JAPAN;  
Makoto Matsuoka, Nagoya-shi, JAPAN;  
Shaoyang Lin, Wako-shi, JAPAN;  
Toshio Yamamoto, Wako-shi, JAPAN;  
Asuka Nishimura, Wako-shi, JAPAN;  
Tomonori Takashi, Wako-shi, JAPAN;

Power of Attorney: The patent practitioners associated with Customer Number 959.

## Domestic Priority data as claimed by applicant

~~This application is a 371 of PCT/JP03/14434 11/13/2002~~ UNITED STATES of AMERICA

60425919 11/13/2002

## Foreign Applications

~~UNITED STATES OF AMERICA 60425919 11/13/2002~~

If Required, Foreign Filing License Granted: 03/10/2006

This application is a 371 of PCT/JP03/14434

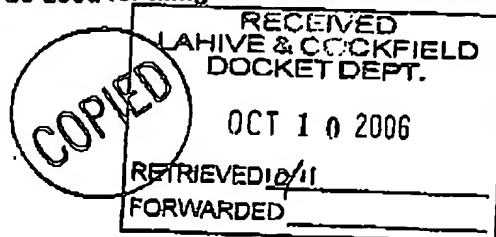
11/13/2002

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/534,593**

Projected Publication Date: Not Applicable

Non-Publication Request: No

Early Publication Request: No



**Title**

Genes for increasing grain yield and uses thereof

**Preliminary Class**

800

**PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES**

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process simplifies the filing of patent applications on the same invention in member countries, but does not result in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-788-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

---

**LICENSE FOR FOREIGN FILING UNDER****Title 35, United States Code, Section 184****Title 37, Code of Federal Regulations, 5.11 & 5.15****GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

#### **NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**RECEIVED**  
**CENTRAL FAX CENTER**

OCT 18 2006

**Supplemental Application Data Sheet****Application Information**

Application number:: 10/534593  
Filing Date:: 05/11/05  
Application Type:: Regular  
Subject Matter:: Utility  
Suggested Group Art Unit:: N/A  
CD-ROM or CD-R?: None  
Sequence submission?: Paper  
Computer Readable Form (CRF)?: Yes  
Number of copies of CRF:: 1  
Title:: GENES FOR INCREASING GRAIN YIELD  
AND USES THEREOF (As Amended)  
Attorney Docket Number:: SHZ-024US  
Request for Early Publication?: No  
Request for Non-Publication?: No  
Small Entity?: No  
Petition included?: No  
Secrecy Order in Parent Appl.?: No

**Applicant Information**

Applicant Authority Type:: Inventor  
Primary Citizenship Country:: Japan  
Status:: Full Capacity  
Given Name:: Motoyuki  
Family Name:: ASHIKARI  
City of Residence:: Nagoya-shi  
Country of Residence:: Japan  
Street of mailing address:: 407, Newpavilion Kato  
1-1401, Makinohara; Meito-ku  
City of mailing address:: Nagoya-shi

State or Province of mailing address:: Aichi  
Country of mailing address:: Japan  
Postal or Zip Code of mailing address:: 465-0072

Applicant Authority Type:: Inventor  
Primary Citizenship Country:: Japan  
Status:: Full Capacity  
Given Name:: Makoto  
Family Name:: MATSUOKA  
City of Residence:: Nagoya-shi  
Country of Residence:: Japan  
Street of mailing address:: 9-203, Takinomizujutaku, 3-252,  
Shinonokaze  
Midori-ku  
City of mailing address:: Nagoya-shi  
State or Province of mailing address:: Aichi  
Country of mailing address:: Japan  
Postal or Zip Code of mailing address:: 458-0016

Applicant Authority Type:: Inventor  
Primary Citizenship Country:: People's Republic of China  
Status:: Full Capacity  
Given Name:: Shaoyang  
Family Name:: LIN  
City of Residence:: Wako-shi  
Country of Residence:: Japan  
Street of mailing address:: c/o Honda Research Institute Japan  
1, Honcho 8-chome  
City of mailing address:: Wako-shi  
State or Province of mailing address:: Saitama  
Country of mailing address:: Japan  
Postal or Zip Code of mailing address:: 351-0114

Applicant Authority Type:: Inventor  
Primary Citizenship Country:: Japan  
Status:: Full Capacity  
Given Name:: Toshio  
Family Name:: YAMAMOTO  
City of Residence:: Wako-shi  
Country of Residence:: Japan  
Street of mailing address:: c/o Honda Research Institute Japan  
1, Honcho 8-chome  
City of mailing address:: Wako-shi  
State or Province of mailing address:: Saitama  
Country of mailing address:: Japan  
Postal or Zip Code of mailing address:: 351-0114

Applicant Authority Type:: Inventor  
Primary Citizenship Country:: Japan  
Status:: Full Capacity  
Given Name:: Asuka  
Family Name:: NISHIMURA  
City of Residence:: Wako-shi  
Country of Residence:: Japan  
Street of mailing address:: c/o Honda Research Institute Japan  
1, Honcho 8-chome  
City of mailing address:: Wako-shi  
State or Province of mailing address:: Saitama  
Country of mailing address:: Japan  
Postal or Zip Code of mailing address:: 351-0114

Applicant Authority Type:: Inventor  
Primary Citizenship Country:: Japan  
Status:: Full Capacity

Given Name:: Tomonori  
Family Name:: TAKASHI  
City of Residence:: Wako-shi  
Country of Residence:: Japan  
Street of mailing address:: c/o Honda Research Institute Japan  
1, Honcho 8-chome  
City of mailing address:: Wako-shi  
State or Province of mailing address:: Saitama  
Country of mailing address:: Japan  
Postal or Zip Code of mailing address:: 351-0114

**Correspondence Information**

Correspondence Customer Number:: 00959

**Representative Information**

Representative Customer Number:: 00959

**Domestic Priority Information**

Application::	Continuity Type::	Parent Application::	Parent Filing Date::
This Application	National Stage of	PCT/JP03/14434	11/13/03
PCT/JP03/14434	An application claiming the benefit under 35 USC 119(e)	60/425,919	11/13/02

**Foreign Priority Information****Assignee Information**

Assignee name:: Honda Motor Co., Ltd.  
Street of mailing address:: 1-1, Minami-Aoyama 2-chome  
City of mailing address:: Minato-ku  
State or Province of mailing address:: Tokyo  
Country of mailing address:: Japan  
Postal or Zip Code of mailing address:: 107-8556